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jc813 U.S. PTO
09/724530
11/28/00

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Siegall et al.

Serial No.: To be assigned

Examiner: To be assigned

Filed: On even date herewith

Group Art Unit: To be assigned

For: METHODS FOR THE TREATMENT AND
PREVENTION OF CANCER USING ANTI-CD40
ANTIBODIES (As Amended)

Attorney Docket No.: 9632-012

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.56 and § 1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure imposed by 37 C.F.R. §1.56 to inform the Patent and Trademark Office of all references coming to the attention of each individual associated with the filing or prosecution of the subject application, which are or may be material to the patentability of any claim of the application, Attorneys for Applicants hereby direct the Examiner's attention to the references AA through CE listed on the attached revised form PTO 1449.

The above identified application is a divisional of U.S. Patent Application Serial No. 09/328,296 filed June 8, 1999. Pursuant to 37 C.F.R. §1.98(d), the Examiner is directed to the file of Application Serial No. 09/328,296 for copies of the listed references AA-AI, AK-AP, AR, AT-AV, AX-BY, and CA-CE, which were all made of record in the prosecution history of Application Serial No. 09/328,296. Copies of references AJ, AQ, AS, AW, and BZ are provided herewith.

While not to be construed as indicating that the Examiner should not review and consider all the cited references, the Examiner's attention is particularly directed to the following references: AE, AG, AH, AJ, AQ, AS, AT, AW, BB, BM, BP, BR, BS, BZ, and CB.

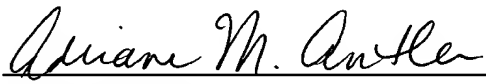
Identification of the above-listed references is not to be construed as an admission of Applicants or Attorneys for Applicants that such references are available as "prior art" against the subject application. Consequently, Applicants respectfully decline to use form PTO-1449, since that form identifies all of the references cited therein as "Prior Art." As an alternative, Applicants submit herewith a "revised form PTO 1449" entitled "List of References Cited".

Applicants request that the Examiner review all the references identified on the attached revised PTO Form 1449, and that they be made of record in the file history of the above-identified application.

Pursuant to 37 C.F.R. § 1.97(b)(3), since this Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits, Applicants estimate that no fee is required. However, should the Patent and Trademark Office determine that a fee is required, please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150; a duplicate sheet is enclosed for accounting purposes.

Respectfully submitted,

Date: November 28, 2000

 32,605
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LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.

9632-012

APPLICATION NO.

To be assigned

APPLICANT

Siegall et al.

FILING DATE

On even date herewith

GROUP

To be assigned

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,182,368	01/26/93	Ledbetter et al.			
	AB	5,354,847	10/11/94	Liu et al.			
	AC	5,530,101	6/25/96	Queen et al.			
	AD	5,540,926	07/30/96	Aruffo et al.			
	AE	5,597,569	01/28/97	Siegall et al.			
	AF	5,674,492	10/07/97	Armitage et al.			
	AG	5,677,165	09/16/97	de Boer et al.			
	AH	5,874,082	02/23/99	de Boer			
	AI	5,872,215	02/16/99	Osbourne et al.			
	AJ	6,056,959	5/02/00	de Boer et al.			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AK	WO 96/18413		PCT				

OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

	AL	Accession No. W78434, 1998, Antibody light chain directed to HER3 clone 18.
	AM	Accession No. Y06716, 1999, Antibody 12B5 single chain Fv (scFv) fragment.
	AN	www.ncbi.nlm.nih.gov (National Center for Biotechnology Information) GenBank Protein Accession No. S69899, 1997, Ig heavy chain V region (clone RFTS7H), rheumatoid factor - human.
	AO	www.ncbi.nlm.nih.gov (National Center for Biotechnology Information) GenBank Protein Accession No. S67941, 1997, Ig heavy chain variable region, subgroup I (clone MH52) - human (fragment)
	AP	www.ncbi.nlm.nih.gov (National Center for Biotechnology Information) GenBank Protein Accession No. C29380, 1988, Ig kappa chain precursor V region (BC-1004) - mouse (fragment).
	AQ	Allessandrini and Desiderio, "Coordination of Immunoglobulin DJ _H Transcription and D-to-J _H Rearrangement by Promoter-Enhancer Approximation," <i>Molecular Biology</i> , 1991, 11(4):2096-2107. ✓
	AR	Armitage et al., "Distinct patterns of inhibition by CD40 mAb of the CD40 ligand-CD40 interaction," in <i>Leukocyte Typing V</i> , Schlossman et al. (Eds.) 1995; 1: 551-552.
	AS	Bjorck and Paulie, "CD40 Antibodies defining distinct epitopes display qualitative differences in their induction of B-cell differentiation," <i>Immunology</i> , 1996, 97, 291-295. ✓
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AU	Bubenik J et al., "Monoclonal antibodies against human urinary bladder carcinomas: selectivity and utilization for gamma scintigraphy," <i>Eur J Cancer Clin Oncol.</i> 1985 Jun;21(6):701-10.
AV	Challa A et al., "Epitope-dependent synergism and antagonism between CD40 antibodies and soluble CD40 ligand for the regulation of CD23 expression and IgE synthesis in human B cells," <i>Allergy.</i> 1999 Jun;54(6):576-83.
AW	Chen et al., "Nucleotide and translated amino acid sequences of cDNA coding for the variable regions of the light and heavy chains of mouse hybridoma antibodies to blood group A and B substances," <i>Journal of Biological Chemistry,</i> 1987, 282(28):13579-13583 ✓
AX	Clark EA and Ledbetter JA, "Activation of human B cells mediated through two distinct cell surface differentiation antigens, Bp35 and Bp50," <i>Proc Natl Acad Sci U S A.</i> 1986 Jun;83(12):4494-8.
AY	De-Paoli P, "High CD40 membrane expression in AIDS-related lymphoma B cell lines is associated with the CD45RA+, CD45RO+, CD95+ phenotype and high levels of its soluble form in culture supernatants," <i>Cytometry.</i> 1997 Feb 15;30(1):33-8.
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BA	Francisco JA et al., "Construction, expression, and characterization of BD1-G28-5 sFv, a single-chain anti-CD40 immunotoxin containing the ribosome-inactivating protein bryodin 1," <i>J Biol Chem.</i> 1997 Sep 26;272(39):24165-9.
BB	Frisch et al., "A soluble immunoglobulin variable domain without a disulfide bridge: construction, accumulation in the cytoplasm of <i>E. coli</i> , purification and physicochemical characterization," <i>Biol. Chem,</i> 1994, 375: 353-356.
BC	Funakoshi S et al., "Inhibition of human B-cell lymphoma growth by CD40 stimulation," <i>Blood.</i> 1994 May 15;83(10):2787-94.
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BE	Gilliland LK et al., "Rapid and reliable cloning of antibody variable regions and generation of recombinant single chain antibody fragments," <i>Tissue Antigens.</i> 1996 Jan;47(1):1-20.
BF	Grafton G et al., "Mechanisms of antigen receptor-dependent apoptosis of human B lymphoma cells probed with a panel of 27 monoclonal antibodies," <i>Cell Immunol.</i> 1997 Nov 25;182(1):45-56. ✓
BG	Grewal IS and Flavell RA, "CD40 and CD154 in cell-mediated immunity," <i>Annu Rev Immunol.</i> 1998;16:111-35.
BH	Herbert and Callard, "Inhibition of specific antibody production by CD40L and a panel of antibodies to CD40," in <i>Leukocyte Typing V</i> , Schlossman et al. (Eds.) 1995; 1:552-554.
BI	Katira et al., "CD40 Workshop Panel report," in <i>Leukocyte Typing V</i> , Schlossman et al. (Eds.) 1995; 1: 547-550.
BJ	Katira et al., "Identification of co-operative epitopes on CD40 supports the existence of a second CD40 ligand," in <i>Leukocyte Typing V</i> , Schlossman et al. (Eds.) 1995; 1: 554.
BK	Kawabe et al., "Generation and characterization of CD40-deficient mice," in <i>Leukocyte Typing V</i> , Schlossman et al. (Eds.) 1995; 1: 550-551.

	BL	Kehry MR. CD40-mediated signaling in B cells. Balancing cell survival, growth, and death," J Immunol. 1996 Apr 1;156(7):2345-8.
	BM	Kim et al., "Restoring allosterism with compensatory mutations in hemoglobin," Proc. Natl. Acad. Sci. USA, 1994, 91: 11547-11551.
	BN	Koho H et al., "Monoclonal antibodies to antigens associated with transitional cell carcinoma of the human urinary bladder. I. Determination of the selectivity of six antibodies by cell ELISA and immunofluorescence," Cancer Immunol Immunother. 1984;17(3):165-72.
	BO	Kuhne MR et al., "Assembly and regulation of the CD40 receptor complex in human B cells," J Exp Med. 1997 Jul 21;186(2):337-42.
	BP	Kwekkeboom et al., "CD40 plays an essential role in the activation of human B cells by murine EL4B5 cells," Immunology, 1993, 79: 439-444.
	BQ	Malik N et al., "Activation of human monocytes through CD40 induces matrix metalloproteinases," J Immunol. 1996 May 15;156(10):3952-60.
	BR	Mathews and van-Holde, Biochemistry, 2nd Edition, 1995, pp. 165-171.
	BS	Matthews BW, "Genetic and structural analysis of the protein stability problem," In: Perspectives in Biochemistry, 1989, chapter 2, pp. 6-9.
	BT	Murphy WJ et al., "Antibodies to CD40 prevent Epstein-Barr virus-mediated human B-cell lymphomagenesis in severe combined immune deficient mice given human peripheral blood lymphocytes," Blood. 1995 Sep 1;86(5):1946-53.
	BU	Noelle RJ et al., "A 39-kDa protein on activated helper T cells binds CD40 and transduces the signal for cognate activation of B cells," Proc Natl Acad Sci U S A. 1992 Jul 15;89(14):6550-4.
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	BW	Pound JD et al, "Minimal cross-linking and epitope requirements for CD40-dependent suppression of apoptosis contrast with those for promotion of the cell cycle and homotypic adhesions in human B cells," Int Immunol 1999 Jan;11(1):11-20. ✓
	BX	Speiser DE et al., "A regulatory role for TRAF1 in antigen-induced apoptosis of T cells," J Exp Med. 1997 May 19;185(10):1777-83.
	BY	Stamenkovic I et al., "A B-lymphocyte activation molecule related to the nerve growth factor receptor and induced by cytokines in carcinomas," EMBO J. 1989 May;8(5):1403-10.
	BZ	Tillman et al., "Both IgM and IgG anti-DNA antibodies are the products of clonally selective B cell stimulation in (NZB x NZW)F ₁ Mice," J. Exp.Med. 1992, 176, 761-779 ✓
	CA	Tutt AL et al., "Monoclonal antibody therapy of B cell lymphoma: signaling activity on tumor cells appears more important than recruitment of effectors," J Immunol. 1998 Sep 15;161(6):3176-85.
	CB	Uckun et al., "Temporal association of CD40 antigen expression with discreet stages of human B-cell ontogeny and the efficacy of anti-CD40 immunotoxins," Blood 1990 Dec.;76:2449-2456 (abstract only).
	CC	van Kooten C and Banchereau J, "Functions of CD40 on B cells, dendritic cells and other cells," Curr Opin Immunol. 1997 Jun;9(3):330-7.
	CD	Yeh WC et al., "Early lethality, functional NF-kappaB activation, and increased sensitivity to TNF-induced cell death in TRAF2-deficient mice," Immunity. 1997 Nov;7(5):715-25.

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EXAMINER		DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.		